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PTO/SB/21 (8-98)
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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE
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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/497,272	
	Filing Date	February 3, 2000	
	First Named Inventor	David W. LaFore, et al.	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	14	Attorney Docket Number	J99.10

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment / Response <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input type="checkbox"/> Information Disclosure Statement <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Assignment Papers (for an Application) <input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Small Entity Statement <input type="checkbox"/> Request for Refund	<input type="checkbox"/> After Allowance Communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below): Letter Re: Notice of Missing Parts of Non-Provisional Application and copy of the same Copies of previously filed documents (2/22/00) - Transmittal Form; Checks for \$40.00 & \$65.00; Declaration and Power of Atty.; Small Entity Stmt. - Lafore; Small Entity Stmt. - Brennan; Assignment and Assign. Cover Sheet; Return postcard
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Brent P. Johnson Fields & Johnson, P.C.
Signature	
Date	June 12, 2000

CERTIFICATE OF MAILING			
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date: 6/12/00			
Typed or printed name	Virginia A. Sawatzke		
Signature		Date	6/12/00

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IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of)
David W. LaFore et al.)
Serial No.: 09/497,272)
Filed: February 3, 2000)
For: "Data Processing System)
and Method for Managing)
Broker Transaction)
Information")

**LETTER RE: NOTICE OF
MISSING PARTS OF NON-
PROVISIONAL
APPLICATION**

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JUN 27 2000

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BOX MISSING PARTS
Assistant Commissioner for Patents
Washington, D.C. 20231

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D.C. 20231, on

June 12, 2000
(Date of Deposit)

Virginia A. Sautzke
Name of applicant, assignee, or Registered Rep.

Sir/Madam:

This is responsive to the Notice to Missing Parts of Non-Provisional Application dated April 28, 2000, a copy of which is enclosed. Also enclosed please find copies of the following documents filed in the U.S. Patent Office on February 22, 2000, in connection with the above-identified application:

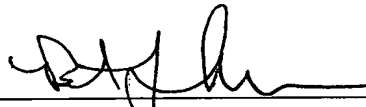
1. Transmittal Form;
2. Check for \$40.00 (Assignment Recordation Fee) and Check for \$65.00 (Late Filing Declaration Surcharge);
3. Declaration for Utility or Design Patent Application;
4. Recordation From Cover Sheet - Patents Only;
5. Assignment;
6. Statement Claiming Small Entity - Independent Inventor executed by Kyle L. Brennan (co-inventor);

7. Statement Claiming Small Entity - Small Business Concern executed by David W. LaFore (co-inventor); and
8. Return postcard received by the U.S. Patent Office on February 22, 2000.

Applicant has made a sincere effort to fully respond to the Notice to Missing Parts of Non-Provisional Application. Therefore, it is respectfully requested that the Notice to Missing Parts of Non-Provisional Application be withdrawn and examination of the application commence.

Respectfully submitted,

FIELDS & JOHNSON, P.C.



Gary D. Fields
Brent P. Johnson
Attorneys for Applicants
8480 East Orchard Road, Suite 5600
Englewood, CO 80111
(303) 689-9100

Date: 6/12/00

FORMALITIES LETTER



OC000000005083954

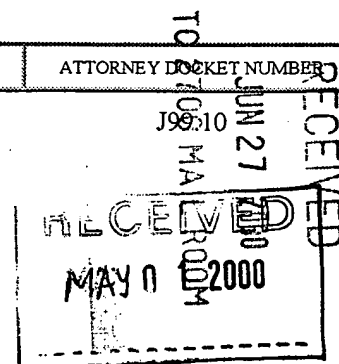


UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office

Address: COMMISSIONER OF PATENT AND TRADEMARKS
Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT DATE	FIRST NAMED APPLICANT	ATTORNEY DOCKET NUMBER
09/497,272	02/03/2000	David W. Lafore	J96-10

Brent P Johnson
Fields & Johnson PC
8480 East Orchard Road
Suite 5600
Englewood, CO 80111



Date Mailed: 04/28/2000

NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

FILED UNDER 37 CFR 1.53(b)

Filing Date Granted

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given TWO MONTHS from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.
A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$130 for a non-small entity, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

*A copy of this notice **MUST** be returned with the reply.*

R. Brown

Customer Service Center
Initial Patent Examination Division (703) 308-1202

PART 3 - OFFICE COPY



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Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM <i>(to be used for all correspondence after initial filing)</i>	Application Number	09/497,272	
	Filing Date	2/3/00	
	First Named Inventor	David W. LaFore, et al	
	Group Art Unit		
	Examiner Name		
Total Number of Pages in This Submission	8	Attorney Docket Number	J99.10

ENCLOSURES (check all that apply)		
<input type="checkbox"/> Fee Transmittal Form	<input checked="" type="checkbox"/> Assignment Papers (for an Application)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
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<input type="checkbox"/> After Final	<input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition	<input type="checkbox"/> Proprietary Information
<input checked="" type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input checked="" type="checkbox"/> Additional Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	check - \$40.00 for recording assignment
<input type="checkbox"/> Information Disclosure Statement	<input checked="" type="checkbox"/> Small Entity Statements (2)	check - \$65.00 for surcharge, late filing of oath & Declaration
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> Request for Refund	
<input type="checkbox"/> Response to Missing Parts/Incomplete Application	Remarks	
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Brent P. Johnson Fields & Johnson, P.C.
Signature	
Date	2/17/00

CERTIFICATE OF MAILING	
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Typed or printed name	Katherine L. Goncalves
Signature	
Date	2/17/00

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FIELDS AND JOHNSON, P.C.

(303) 689-9100

8480 EAST ORCHARD ROAD, SUITE 5600
ENGLEWOOD, COLORADO 80111

DATE	INVOICE	AMOUNT
Re: Assignment for Pat app		
SN 09/497,272 for Data		
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399.10 Per No.		

23-101 / 1020

No 11058

DATE 2/17/00

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TO
THE ORDER
OF

Assistant Commissioner
for Patents

BANK ONE, COLORADO, N.A.
Denver, Colorado

Virginia A. Sawatzke

⑈011058⑈ ⑆102001017⑆ 1200270740⑈

FIELDS AND JOHNSON, P.C.

(303) 689-9100

8480 EAST ORCHARD ROAD, SUITE 5600
ENGLEWOOD, COLORADO 80111

DATE	INVOICE	AMOUNT
Re: Late filing of Declaration		
Surcharge for Data Processing		
System SN 09/497,272 to		
La Tou, et al.; 399.10		

23-101 / 1020

No 11057

DATE 2/17/00

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TO
THE ORDER
OF

Assistant Commissioner
for Patents

BANK ONE, COLORADO, N.A.
Denver, Colorado

Virginia A. Sawatzke

⑈011057⑈ ⑆102001017⑆ 1200270740⑈

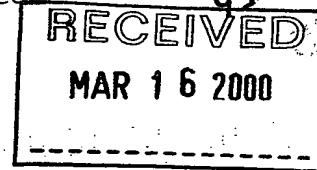


February 17, 2000

RE: U.S. Patent Application Serial No. 09/497,272 Entitled
"Data Processing System and Method for Managing Broker
Transaction Information" to David W. LaFore, et al.;
Docket No. J99.10

Enclosed herewith for filing:

- (x) Transmittal form
- (x) Two (2) Statements Claiming Small Entity: Independent
Inventor, and Small Business Concern
- (x) Assignment
- (x) Recordation Form Cover Sheet
- (x) Check for \$65.00
- (x) Check for \$40.00
- (x) Return postcard
- (x) Declaration



/kz

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